



12/07/01

Section 115

EXPRESS MAIL NO.: EL 477 032 938 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Buist et al.

Serial No.: 09/845,224

Group Art Unit: 2164

Filed: April 30, 2001

Examiner: Not yet assigned

For: METHOD AND APPARATUS FOR AUCTIONING SECURITIES Attorney Docket No.: 9628-009

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Sir:

4-Month Extension. Pursuant to 37 C.F.R. 1.136(a), applicants hereby petition for a 4-month extension of time to respond to the Notice to File Missing Parts dated June 22, 2001. This extension will extend the response due date to December 26, 2001 (December 22 being a Saturday, and December 24 and 25 being National Holidays). The fee for this extension is \$720 (small entity).

In response to the Notice To File Missing Parts Of Nonprovisional Application mailed on June 22, 2001, a copy of which is enclosed, applicants submit herewith, pursuant to 37 CFR 1.63 and MPEP § 201.06(c), a Declaration for Non-Provisional Patent Application executed by the inventors, substitute drawings, and a Preliminary Amendment.

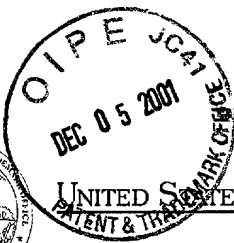
Substitute drawings were requested because the originally-filed drawing sheets did not have appropriate margins and because some drawings contained excessive text. A revised set of 14 sheets of drawings with appropriate margins is enclosed; the drawings with excessive text have been, via the enclosed Preliminary Amendment, deleted, with the text therein incorporated into the specification. No new matter has been added.

The fee for the submission of this response is estimated to be \$785 (small entity) (\$65 for late filing fee and \$720 for 4-month extension). Please charge all required fees to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed for accounting purposes.

Respectfully submitted,

Date: December 5, 2001

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UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/845,224	04/30/2001	Walter D. Buist	9628-009

CONFIRMATION NO. 3843

20583  
PENNIE AND EDMONDS  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 100362711

## FORMALITIES LETTER



\*OC00000006217707\*

Date Mailed: 06/22/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings contain excessive text. Suitable descriptive legends may be used, or may be required by the Examiner where necessary for understanding of the drawing but should contain as few words as possible ( see 37 CFR 1.84(o));

*A copy of this notice **MUST** be returned with the reply.*

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Variable	Mean	Standard deviation	Minimum	Maximum
Age	34.5	10.5	18	65
Gender	0.5	0.5	0	1
Marital status	0.5	0.5	0	1
Education	12.5	1.5	9	16
Income	1.5	0.5	1	2
Health status	0.5	0.5	0	1
Smoking status	0.5	0.5	0	1
Alcohol consumption	0.5	0.5	0	1
Exercise frequency	0.5	0.5	0	1
Stress level	0.5	0.5	0	1
Work satisfaction	0.5	0.5	0	1
Life satisfaction	0.5	0.5	0	1
Depression score	0.5	0.5	0	1
Loneliness score	0.5	0.5	0	1
Self-esteem score	0.5	0.5	0	1
Resilience score	0.5	0.5	0	1
Optimism score	0.5	0.5	0	1
Gratitude score	0.5	0.5	0	1
Forgiveness score	0.5	0.5	0	1
Empathy score	0.5	0.5	0	1
Compassion score	0.5	0.5	0	1
Kindness score	0.5	0.5	0	1
Generosity score	0.5	0.5	0	1
Patience score	0.5	0.5	0	1
Humility score	0.5	0.5	0	1
Modesty score	0.5	0.5	0	1
Shyness score	0.5	0.5	0	1
Introversion score	0.5	0.5	0	1
Extroversion score	0.5	0.5	0	1
Social skills score	0.5	0.5	0	1
Communication skills score	0.5	0.5	0	1
Problem-solving skills score	0.5	0.5	0	1
Decision-making skills score	0.5	0.5	0	1
Time management skills score	0.5	0.5	0	1
Organization skills score	0.5	0.5	0	1
Leadership skills score	0.5	0.5	0	1
Teamwork skills score	0.5	0.5	0	1
Conflict resolution skills score	0.5	0.5	0	1
Emotional regulation skills score	0.5	0.5	0	1
Stress management skills score	0.5	0.5	0	1
Self-care skills score	0.5	0.5	0	1
Goal setting skills score	0.5	0.5	0	1
Time management skills score	0.5	0.5	0	1
Organization skills score	0.5	0.5	0	1
Leadership skills score	0.5	0.5	0	1
Teamwork skills score	0.5	0.5	0	1
Conflict resolution skills score	0.5	0.5	0	1
Emotional regulation skills score	0.5	0.5	0	1
Stress management skills score	0.5	0.5	0	1
Self-care skills score	0.5	0.5	0	1
Goal setting skills score	0.5	0.5	0	1